

# ENDANGERED ARCHIVES PROGRAMME GUIDANCE FOR APPLICANTS

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## 1. About the Endangered Archives Programme



The Endangered Archives Programme (EAP) seeks to preserve cultural heritage and make it available to as wide an audience as possible. We provide grants to applicants to digitise and document collections of archives and we aim to facilitate capacity building in the country or region of the project. EAP is funded by Arcadia, a charitable trust of Lisbet Rausing and Peter Baldwin.

The call for the grants goes out in September each year, and we invite researchers and archivists to put forward proposals for projects that will start the following August at the earliest and no later than February of the next year.

This document provides guidance for potential applicants and should be read before beginning an application.

## 2. Scope and Objectives

2.1 The Programme invites applications to digitise a wide variety of material types:

- rare printed sources (books, serials, newspapers, maps, ephemera, etc.)
- manuscripts in any language
- visual materials (drawings, paintings, prints, posters, photographs, etc.)
- audio recordings and film footage
- other objects and artefacts, normally only where they are found in association with a documentary archive.

The Programme will not fund as the main focus of a project:

- the creation of oral histories
- the creation of new audio or video recordings
- the digitisation of material dating from the mid-20<sup>th</sup> century onwards

Other Arcadia-funded programmes exist for these purposes: the Endangered Languages Documentation Programme (ELDP), the Endangered Material Knowledge Programme (EMKP) and the Modern Endangered Archives Programme (MEAP).

2.2 Material can be on any theme or aspect of culture. However, the Programme generally does not support applications for archives held in Western Europe or North America.

2.3 Applicants must identify an Archival Partner to work with in the country in which the archive is located. A fundamental principle is that no original archival material may leave its country of origin. The only exception is if there is no alternative to removing the material temporarily for digitisation.

2.4 At award, the Principal Applicant becomes the Project Lead, responsible for leading a team who digitises and catalogues of the archive, using the equipment and standards set out by EAP.

2.5 Digital copies must be made available at an appropriate and established institution in the country of origin. A second digital copy must be sent to the British Library. The digital master copies normally stay within the country of origin. The British Library copies will be made available for the types of use and access specified in the Grant Agreement.

2.6 The Programme will only fund digitisation of material that can be made available online. If there are copyright or privacy restrictions that prevent this, the material may not be digitised.

### 3. Grants

3.1 The following types of grant are currently available:

- **Pilot project grants** can either involve investigating the potential for a major project through a survey, or they may be small digitisation projects. These projects should last for no more than 12 months and have a budget limit of £15,000.
- **Major project grants** are intended for digitisation and cataloguing of a collection or collections. This type of grant may involve preservation necessary for digitisation, and may also relocate the material to a more secure location/institution within the country. These projects typically last for 12 months but can last for up to 24 months, and have a budget limit of £60,000.
- **Area grants** are similar to a major grant, but larger in scale and ambition. Applicants must demonstrate an outstanding track record of archival preservation work and be associated with an institution that has the capacity to facilitate a large-scale project. The Programme will award a maximum of two area grants in each funding round. They can last for up to 24 months and have a budget limit of £150,000. Potential applicants must contact the EAP office before submitting an application for this type of grant.

3.2 Grants are offered on the condition that the original material is not removed from the country of origin and the digital materials created by the project are held and maintained by the Archival Partners.

3.3 All grants are awarded to the standard Grant Agreement ([Terms & Conditions](#)) and there are general principles that apply to all grants.

### 4. Applications and Procedures

4.1 The call for applications usually goes out in September and the dates will be announced on the [web page](#).

4.2 Applying for Pilot projects, Major projects and Area grants

- The application process is in two stages. All applicants must submit a preliminary application for assessment. Preliminary application forms are available on the Programme's web pages and must be submitted online by mid-November. All applications must be written in English. Budgets must be provided in pounds sterling (GBP) – all awards are made in GBP.
- Preliminary applications are assessed by the British Library. If applicants are successful at the preliminary stage, they will be invited to submit a second, detailed, application and provide a reference. Detailed applications are assessed by the International Advisory Panel who also consult with external independent referees as well as British Library staff. Offers are made in May. All offers are conditional on a risk assessment; minor adjustments to the proposal may be required at this stage.

## 5. Criteria for Evaluating Applications

Applications are evaluated against three broad criteria:

### I. Content of archive

The case for the material to be digitised must cover the following areas:

- **Endangerment.** Applicants must demonstrate that the material is vulnerable, due to neglect and/or environmental threats; and that there is an urgent need to safeguard the material.
- **Research value.** Applications must demonstrate the extent to which the archive is rare or unique, its cultural importance and its potential value as a resource for research.
- **Age** of material. Applicants must show that the material dates from before the middle of the twentieth century.
- **Legal and ethical rights** to digitise the material and make it available online for research. Applicants must have the permission of the collection's owners to digitise the materials and make them available. Applicants must also understand the copyright status of the archival material in the country in which it resides and whether there are any data protection issues associated with them.

### II. Project team

Applications must include the following information about the proposed team:

- **Track record** of Principal Applicant. Applicants must show that they have the experience necessary to manage and complete the project successfully. Applications at the detailed stage may include up to three co-applicants who can provide the skills or experience that the Principal Applicant lacks.
- **Skills** within the project team. Applicants must identify the skills the project will require, such as: language skills; project-management and financial skills; digitising and cataloguing skills; technical skills for handling equipment and vulnerable material. Applicants must demonstrate how they will ensure that the team is composed of people who meet these requirements.
- **Knowledge** within the team. There must be evidence that the Principal Applicant and proposed team understand the material, its condition and its research and cultural value. Indicate knowledge of the relevant languages and scripts of the materials in the archive.

### III. Project plan

The proposal must contain an outline of an effective plan showing how the following questions have been addressed:

- **Feasibility.** Applicants must demonstrate an understanding of the practicalities and logistics of the project: Is the time frame reasonable? Are the team available at the time specified? Has a risk assessment been done? Have all costs been taken into account? Who will oversee the finances?
- **Local capacity building.** Wherever possible, the project should create the opportunity for future archival and digitisation work to be carried out in the region where the archive is located. Applications should include a plan for the period after the project is completed, outlining what will happen to the equipment and how the training and experience of the team will be put to further use.
- **Budget.** The budget must be within the limit for the type of project (see above). Applicants must provide justification for the cost of all equipment, salaries, and travel,

and demonstrate that the budget represents good value for money (see 10.1). Host Institutions should make appropriate financial contributions to these costs.

## 6. Eligibility

### 6.1 Eligible applicants:

- Any accredited member of teaching or research faculty, and any registered post-graduate researcher, at a recognised UK or overseas university or similar higher education institution. PhD candidates will only be considered where the applicant has a proven track record of grant and project management. In such a case, a letter of support must be provided by their supervisor, giving approval for the candidate to undertake the project and detailing how the project relates to the PhD.
- Archivists and librarians with responsibilities for special collections in a recognised archive, national or research library, or similar institution. Current employees of the British Library are not eligible to apply.

### 6.2 Host Institutions:

- A recognised non-commercial institution (educational, research or archival/library management). The Host Institution will be directly responsible for receiving and managing the funds and submitting budget accounts to the EAP Office on a regular basis. Normally, the Principal Applicant is employed by the Host Institution.
- In exceptional circumstances, Principal Applicants not affiliated with an institution as described above may apply as an Independent Researcher, with permission from the EAP team. In such cases, they are expected to be able to provide references, details of relevant experience and a track record of delivering successful comparable projects. In these cases, the applicant is subject to additional procedures and requirements of the British Library and agrees to have the British Library as the institutional guarantor. At the Final Report stage, the applicant undertakes to have the project's financial accounts validated by an appropriately qualified and independent professional before submission to the EAP office.

### 6.3 Archival Partner(s):

- An archive, library or similar institution, based in the area in which the project is operating, with the ability to ensure long-term preservation of the digital material created by the project and, where appropriate, to provide access to the originals.

### 6.4 Eligible costs include:

- The fees or salaries of project staff helping with the tasks related to digitising and cataloguing the material. Teaching cover where an academic needs to spend considerable time in the field away from official teaching duties, and contributions to salary costs where an applicant has to be in the field for a prolonged period.
- The cost of cataloguing and digitising material, including purchasing equipment, and re-locating and installing the material in an archive, but not archival overheads or running costs. This can also include the cost of basic preservation measures for the original material, such as acid-free storage boxes.

- Travel and subsistence, and directly relevant office operations and supplies.
  - Training costs. The Programme aims to enhance the local capacity to preserve and manage collections in the long term. Applicants are therefore encouraged, if possible, to incorporate training and professional development for local staff in their grant proposal, which can be in areas such as archival collection management or technical training in digitising techniques.
  - The cost of developing a project website to host the digital collection. Disseminating the results from the project, such as conference talks or public/educational displays, especially where they are aimed at informing local people.
- 6.5 Ineligible costs include institutional overheads, capital building and refurbishment projects, building work of any kind, routine infrastructure and staffing costs, physical conservation of original materials, extensive cataloguing or archive management.

## 7. General requirements

- 7.1 Although applications must be submitted by the Principal Applicant as an individual, each grant will be administered and accounted for by a Host Institution (university, archive or similar institution) to which the Principal Applicant belongs. Applications must therefore be approved by the relevant institution (see Grant Agreement), and applicants must ensure before they submit a preliminary application that an appropriate representative of their institution agrees to the Terms and Conditions required to administer the grant.
- 7.2 Applicants may only submit one application for each round of funding.
- 7.3 Applicants must identify an Archival Partner in the country in which the archive is located, and secure a signature from a senior representative. If the collection is to be re-housed with the Archival Partner, the application must include a statement of the institution's commitment to standards of storage, documentation, access and long-term preservation. All applications must include a list of all institutions that will receive copies of the digitised material.
- 7.4 Applications from state institutions requesting support for their own collections must demonstrate some contribution in kind, such as the provision of staff time, training or room hire.
- 7.5 If national or state records are to be digitised, the Programme requires confirmation that the appropriate governmental department has been consulted and has given permission, in writing, for the work to go ahead.
- 7.6 Applicants must demonstrate that the owners of the material have agreed to co-operate in the project. Confirmation of this in writing must be submitted with the application (except in the case of Pilot project applications where the proposal is for a survey).
- 7.7 Where the amount, condition, status and exact locations of material contained in the archive are not known, applications should be made for a Pilot project to survey the material in the first instance.

- 7.8 The Programme does not provide funds to purchase archival material. Some notional recompense payment to owners of the material may be required in exceptional cases, but these must be fully justified and costed at the application stage.

## 8. Rights and permissions

- 8.1 Materials digitised with EAP funding must be made available online on a non-commercial basis. The Programme does not offer grants if further restrictions are placed on the use of or access to the material. Applicants must know at the application stage what the copyright status is in the country and that they have permission to put the materials online. For projects involving digitisation the Permission and Copyright form must be submitted with the detailed application.
- 8.2 The British Library will provide online access to the digitised material under a CC-BY-NC licence if copyright applies. If images are used in a scholarly work, the publishers are requested to send copies to the relevant Archival Partners. It is the responsibility of the Grant Holder to ensure that any local archives where copies are also deposited are aware of copyright restrictions.

## 9. Monitoring

- 9.1 Projects are reviewed regularly through the submission of digital materials and metadata followed by the submission of an Interim Report according to the schedule agreed in the Grant Agreement. Grants will normally be paid in instalments based on satisfactory reporting. All financial reports must be provided in GBP and the exchange rate should be based on the date the grant instalment was received.

## 10. Preservation and digitisation

- 10.1 Applicants must consider the scope, budget, equipment and practical planning the project will require. The Endangered Archives Programme has published a book, *Remote Capture: Digitising Documentary Heritage in Challenging Locations*, which is [available as a free PDF](#) and it should be consulted prior to applying for a grant. A list of approved equipment can be found in the [digital appendices](#) to the book. Any questions may be discussed with the British Library using the Programme's email address: [endangeredarchives@bl.uk](mailto:endangeredarchives@bl.uk). Potential applicants must follow the Guidelines on the EAP website with regard to cataloguing standards.
- 10.2 The Programme is not designed to support systematic conservation work. It is intended to preserve the integrity of archives by removing them from a hazardous or neglectful environment, relocating them into safer circumstances where necessary, and digitising them to preserve their contents and make them accessible.
- 10.3 Applicants must explain precisely how they will digitise and preserve both the original material and the digitised copies. The expected costs should be included in the application. Applicants must show where the original material and the digital files will be stored after the project is completed and demonstrate that the institutions involved are willing to host these materials.
- 10.4 Project Leads must send samples of the digital files and sample metadata to the EAP

team at the British Library within three months of the award (and before 100 images or 5 sound files have been taken). Samples must also be submitted and with each interim progress report. This is to ensure that the files and metadata are produced in accordance with British Library practice.

- 10.5 No later than three months after the end of the project, Project Leads must send the complete set of digital files, with supporting documentation, securely packaged (by courier or registered mail) to the EAP office at the British Library (at the address given below in Section 11.2). They should also email the British Library separately providing details of the shipment.
- 10.6 The British Library will be responsible for accessioning all digital files and arranging for them to be safely stored. Details of all collections received will be posted on the Programme's website and all digital images and recordings will be made available online.

## 11. Contact Details

- 11.1 All enquiries about application procedures or any other aspect of the Endangered Archives Programme should be addressed to [endangeredarchives@bl.uk](mailto:endangeredarchives@bl.uk). All correspondence must have the EAP reference number, once allocated, in the subject field.
- 11.2 The postal address is:  
Endangered Archives Programme  
The British Library  
96 Euston Road  
London NW1 2DB, United Kingdom
- 11.3 The procedures for application and the application forms can be found on the Programme's website at [eap.bl.uk](http://eap.bl.uk).

## 12. About this Guidance

- 12.1 The British Library reserves the right to make amendments, changes and updates to the Guidance for Applicants during the term of an award. The Endangered Archives Programme will endeavour to notify those affected as soon as possible of any such changes.
- 12.2 This document should be read in conjunction with the current [Grant Agreement Template](#).